



Scorebook

for Business,
Education, and Health Care

accomplishment



recognition



Scorebook

for Business, Education, and Health Care

Examiner Name _____ Number of Hours Worked _____

Application Number _____

Return Scorebook to:

Sent to Examiner _____
date

Malcolm Baldrige National Quality Award
American Society for Quality
611 E. Wisconsin Avenue
Milwaukee, WI 53202
(800) 248-1946, ext. 7205

Return Scorebook via overnight mail
before _____
due date

Process Stage:

☐ Stage 1 –
Independent Review

☐ Stage 2 –
Consensus Review

Criteria, Score Summary Worksheet, and Scoring Guidelines Used:

☐ Business

☐ Education

☐ Health Care



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INTRODUCTION AND GENERAL INSTRUCTIONS

Introduction

This Scorebook provides Examiners with a concise, organized, and standardized method to record their comments and scores in the evaluation of an applicant. In Stage 1, the independent review, this Scorebook is used to record the individual Examiner's findings. In Stage 2, the consensus review, the Scorebook is used to record the findings of the Consensus Team.

A suggested process for scorebook completion (beginning on page 2) illustrates a systematic process for evaluating an applicant and indicates how to complete each of the worksheets in the Scorebook.

Timeliness

At Stage 1, note the due date on the Cover Sheet of the Scorebook. The cooperation of Examiners in adhering to turnaround times in the application review process is critical to the success of the program.

Confidentiality

You are reminded that the application, your Scorebook, all notes, computer files, and all other information relating to applicants are highly confidential. Do not conduct your review in the presence of others or leave these documents where other people can have access to them.

Your Task – Scorebook Completion and Return

At Stage 1, your task is to complete the following documents and return them to the American Society for Quality (ASQ) by the due date indicated on the Cover Sheet.

- Cover Sheet
- Key Business/School Factors Worksheet
- Key Themes Worksheet
- One Category Worksheet Per Category (7)
- One Item Worksheet Per Item (19 for Business and Health Care and 18 for Education)
- Appropriate Score Summary Worksheet (Business, Education, or Health Care)
- Checklist and Signed Conflict of Interest Statement

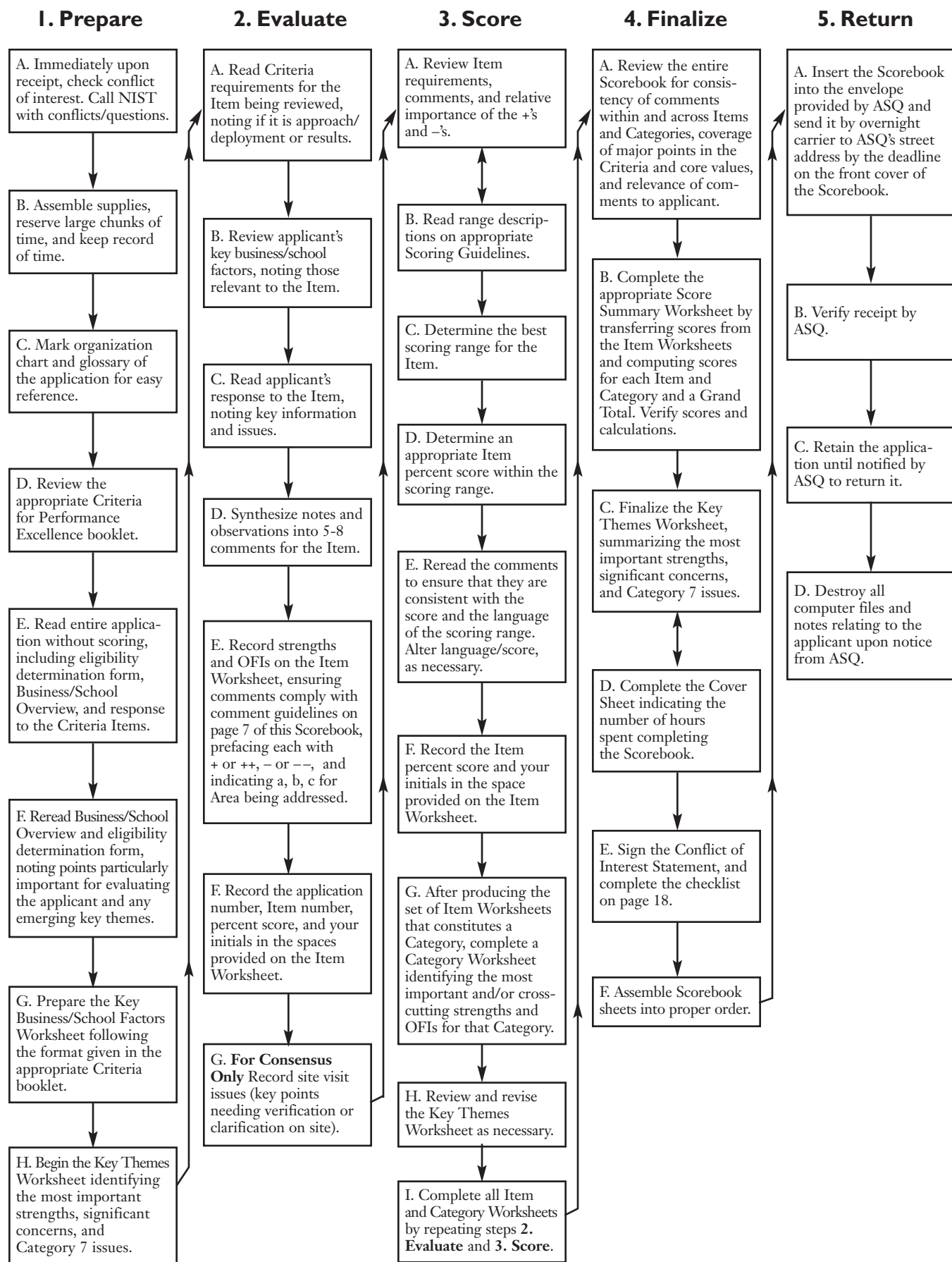
Use of Computers

A copy of this Scorebook can be downloaded from the NIST Baldrige National Quality Program website at <http://www.quality.nist.gov/99scorebook.htm>.

You may use word processing software to prepare your Scorebook according to the following instructions:

1. Use a format similar to that in the Scorebook. Be sure to include the Key Business/School Factors Worksheet, the Key Themes Worksheet, all Item and Category Worksheets, the appropriate Score Summary Worksheet, and the Checklist and Conflict of Interest Statement.
2. Use the simplest possible format with no columns or tabs. When possible, prepare or save all Scorebook worksheets in Word 6, 12 point, Times New Roman.
3. Use a new Item Worksheet for each Item. Record the application number, Item number, percent score, and your initials on all pages.
4. Use a separate Category Worksheet for each Category.
5. Check that you have a page for each Item and Category and that they are collated correctly.
6. Record your scores and your name on the appropriate Score Summary Worksheet.
7. Read the checklist on page 18.
8. Read and sign the Conflict of Interest Statement on page 18.
9. Return a complete paper copy of the Scorebook to ASQ including:
 - Cover Sheet
 - Key Business/School Factors Worksheet
 - Key Themes Worksheet
 - One Category Worksheet Per Category (7)
 - One Item Worksheet Per Item (19 for Business and Health Care and 18 for Education)
 - Appropriate Score Summary Worksheet (Business, Education, or Health Care)
 - Checklist and Signed Conflict of Interest Statement

SUGGESTED STAGE I PROCESS FOR EVALUATING APPLICATIONS



SUGGESTED PROCESS FOR SCOREBOOK COMPLETION

The following is an elaboration of the Suggested Process for Evaluating Applications flowchart presented on page 2.

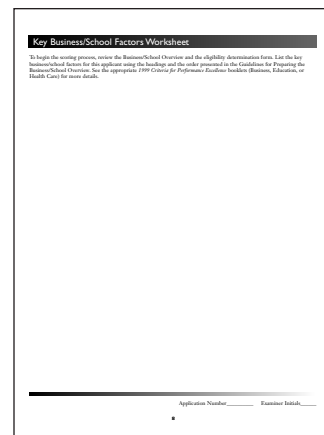
Step 1: Prepare

- A. Check conflict of interest. Read the eligibility determination form and Business/School Overview with particular attention to the applicant's organization chart, customers, competitors, and suppliers. Notify NIST immediately if you identify any situation, including business, personal, or financial relationships, that could be perceived as affecting your ability to review the applicant fairly and objectively.
- B. Assemble your supplies. To complete an evaluation you will need the following:
 - Appropriate 1999 Criteria for Performance Excellence booklet (Business, Education, or Health Care)
 - Application Report
 - 1999 Scorebook for Business, Education, and Health Care
 - Calculator
 - Writing implements/marketing tools
 - Watch or clock

Reserve large chunks of time to evaluate the application, which typically takes a total of 20-40 hours. Keep track of your time to record the total hours worked on the front cover of the Scorebook.

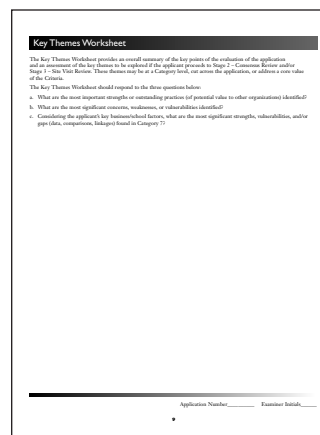
- C. Mark the organization chart and glossary of the application for easy reference.
- D. Review the appropriate Criteria for Performance Excellence booklet. You will need a working knowledge of all sections (e.g., Criteria, Scoring System, Core Values, and Glossary) in order to properly evaluate an applicant.
- E. Read the entire application report from cover to cover, including the eligibility determination form, the Business/School Overview, and the applicant's response to the Criteria Items.
- F. Reread the Business/School Overview and eligibility determination form, noting (with highlighters or margin notes) the points that are particularly relevant and important to the proper evaluation of the applicant and any emerging key themes. The applicant's responses throughout the application and your evaluation should reflect the key business/school factors (KFs) identified by the applicant in its Business/School Overview and in Item 7, "Business/School Factors," of the eligibility determination form.

- G. Prepare the Key Business/School Factors Worksheet (referring to your highlighting or notes) by listing the key business/school factors for the applicant. Use the headings and order presented in the Guidelines for Preparing the Business/School Overview. See the appropriate Criteria for Performance Excellence booklets (Business, Education, or Health Care).



The form is titled "Key Business/School Factors Worksheet". It contains a header with instructions: "To begin the scoring process, review the Business/School Overview and the eligibility determination form. List the key business/school factors for this applicant using the headings and the order presented in the Guidelines for Preparing the Business/School Overview. See the appropriate 1999 Criteria for Performance Excellence booklets (Business, Education, or Health Care) for more details." Below the header is a large blank area for writing. At the bottom, there are fields for "Application Number" and "Evaluator Initials".

- H. Begin to prepare the Key Themes Worksheet. This worksheet provides an overall summary of the key points of the evaluation and an assessment of the key themes to be explored if the applicant proceeds to Stage 2 – Consensus Review and/or Stage 3 – Site Visit Review. These themes may be at a Category level, cut across the application, or address a core value of the Criteria.



The form is titled "Key Themes Worksheet". It contains a header with instructions: "The Key Themes Worksheet provides an overall summary of the key points of the evaluation of the application and an assessment of the key themes to be explored if the applicant proceeds to Stage 2 – Consensus Review and/or Stage 3 – Site Visit Review. These themes may be at a Category level, cut across the application, or address a core value of the Criteria. The Key Themes Worksheet should respond to the three questions below." Below the header are three numbered questions:

- a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
- b. What are the most significant concerns, weaknesses, or vulnerabilities identified?
- c. Considering the applicant's key business/school factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in Category 7?

At the bottom, there are fields for "Application Number" and "Evaluator Initials".

1. The Key Themes Worksheet should respond to three questions:
 - (a) What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
 - (b) What are the most significant concerns, weaknesses, or vulnerabilities identified?
 - (c) Considering the applicant's key business/school factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in Category 7?
2. Several iterations of the Key Themes Worksheet will be completed throughout the evaluation process.

3. The contents of the Key Themes Worksheet will be revised as part of the consensus review and/or the site visit review of the applicant. On the conference call with the Judges following the site visit, the team leader will be asked to explain the site visit findings that led to the revisions.

Step 2: Evaluate

- A. Read the Criteria requirements for the Item being reviewed, noting if the Item requests the applicant to discuss an approach and its deployment, or the results of approaches discussed in other parts of the application.
- B. Review the applicant's KFs. These key factors should already be included on the Key Business/School Factors Worksheet.
- C. Read the applicant's response to the same Item. Make notes by highlighting key information and writing margin notes. Assess what is written and reasonably supported in the application. If the applicant provides cross-references, or if you find relevant information elsewhere in the application report, consider that information in your assessment of the Item. However, do not make assumptions, positive or negative, that cannot be supported by the information presented in the application report.
- D. Synthesize from your notes the most important observations into 5-8 comments about the applicant's approach/deployment or results for the Item.
- E. Record the comments as strengths or opportunities for improvement (OFIs) in the space provided on the Item Worksheet for that Item.
 1. Each of the 5-8 comments should typically consist of 1-3 complete, declarative, and nonprescriptive sentences that use specific examples from the application. Ensure that they relate to the major Item requirements. Link them to the applicant's KFs, as appropriate.
 2. Answer the "so what" question, indicating the significance of the comment in relation to the evaluation and/or effectiveness of the applicant's performance excellence system.
 3. Record an OFI on any Area to Address to which the applicant has not responded.
 4. Ensure that all comments are well written and follow the Comment Guidelines presented on page 7.
 5. Preface all comments on strengths with a (+ or ++) sign. Use a (– or --) sign to indicate OFIs. Double ++ and -- indicate particularly important observations that have a major impact on the applicant's score for the Item and/or particular significance to

the applicant's performance management system. Designate comments concerning important missing information with a (– or --). For both strengths and OFIs on each Item, use a, b, c, (1), (2), (3), to indicate the corresponding Area to Address found in the Item. An example of the use of these signs and typical comments is provided at the bottom of this page.

- E. Record the application number, individual Item number, percent score, and your initials in the spaces provided at the bottom of the Item Worksheet.

The diagram illustrates the 'Item Worksheet' form, which is divided into three main sections: **STRENGTHS**, **OPPORTUNITIES FOR IMPROVEMENT**, and **SITE VISIT ISSUES (For Consensus Only)**. Arrows point from these sections to specific evaluation comments.

STRENGTHS (Section 7.5 Strengths):

- ++ a The applicant has established internal product and service quality measures that are directly linked to the key requirements of its customers and has shown consistent improvement from 1993-1998 on many of them, including Mean Time Between Calls, Parts Availability, Product Liability and Accrual, and Telephone Answering Time (Figures 7.5-1 and 7.5-3 through 7.5-5).
- + a Non-industry comparisons are provided for Parts Availability, Telephone Answering Time, and Technical Response Time (Figures 7.5-3, 7.5-5, and 7.5-6). The applicant's 1998 performance is better in all three cases.
- + a The applicant has made substantial improvement in on-time performance since 1993 and is achieving more than 96% on-time performance for all products and plants.

OPPORTUNITIES FOR IMPROVEMENT:

- a Neither direct competitive comparisons nor benchmarks are provided for any non-price product and service quality measures presented in the application, making it difficult to assess the applicant's performance relative to its competition or industry best.
- a Except for on-time performance, results are not segmented (e.g., by location or product), preventing an assessment of the consistency of performance across business and field units.

SITE VISIT ISSUES (For Consensus Only):

- Verify the results presented, and clarify results/trends for all key indicators from application to date.
- Clarify whether segmented results (e.g., by location and/or product) and additional competitive data exist and, if so, the performance shown.
- Verify on-time shipments, and validate industry averages and benchmark results.

At the bottom of the form, there are fields for: Application Number, Item Number, Percent Score, and Examiner Initials.

- G. **(For Consensus Only)** Record site visit issues in the space provided on the Item Worksheet. These are major/important issues that should be verified or clarified on site. Issues for on-site **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would want to verify that the process exists and operates as presented in the written application. Basically, the Site Visit Team is verifying that appropriate credit was given during the consensus review of the written application. This is particularly true where the Consensus Team gave the applicant the benefit of the doubt.

Issues for on-site **clarification** include information that is unclear or not provided that is *central* to the Item requirements and relevant and important to the applicant's business which may have prevented the Consensus Team from fully and fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data, but those data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, if it is used and what the data show about the applicant's reported results relative to other organizations. (Examples of site visit issues are shown on the previous page.)

Step 3: Score

- A. Review your comments, the relative importance of the pluses and minuses, and the Item requirements.
- B. Read the description of the scoring ranges in the appropriate Scoring Guidelines (Business, Education, or Health Care) on pages 12, 14, and 16 of this Scorebook to assign a percentage score for the Item. The Scoring Guidelines are divided into two parts: the left side contains scoring dimensions for Approach/Deployment Items, and the right side contains scoring dimensions for Results Items. Note that Approach/Deployment Item scoring ranges are determined by the strength of the applicant's approach, deployment, improvement, and integration. Results scoring ranges are determined by levels, trends, comparisons, and relevance to improving the organization's performance.
- C. Determine the scoring range (0%, 10-20%, 30-40%, 50-60%, 70-80%, 90-100%) which best reflects the comments written about the applicant's level of performance on this Item. Score each Item independently. Do not let your impression of the applicant on other Items influence your evaluation of this Item. Applicants will typically be stronger in some Items than others.
- D. Determine an appropriate score within the scoring range. **For Stage 1, the independent review, use only multiples of 10% (i.e., 10%, 20%, not 15%, 28%).**

For Stage 2, the consensus review, if using the average, first round percent scores to the nearest whole number. Next, round the point scores to the nearest whole number.

The comments and the score for an Item should be consistent, both in terms of the number of comments distributed between the strengths and the OFIs, and the weight and substance of the comments themselves. For example, the 5-8 comments for an Item scored at 20% would appear predominantly in the OFI section of the Item Worksheet.

- E. Reread the comments to ensure that they are consistent with the score and the language of the scoring range. Alter language/score, as necessary.
- F. Record the application number, individual Item number, Item score, and your initials in the spaces provided on the Item Worksheet.
- G. After producing the set of Item Worksheets that constitutes a Category, complete a Category Worksheet by identifying the most important and/or cross-cutting strengths and OFIs for that Category. For example, complete the worksheets for Items 1.1 and 1.2, and then write the Category Worksheet for Category 1.

The Category Worksheet is a summary of the Examiner's evaluation of each Criteria Category. The summary does not repeat the individual findings given in the Item Worksheets, but uses the Item findings in the perspective of the whole Category. The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's KFs are useful in identifying Category-level observations of the applicant's strengths and opportunities for improvement.

There should usually be 6-10 comments per Category. A comment is 1-2 sentences long and consists of complete sentences. The balance of strengths and OFIs should reflect the scoring over the entire Category.

- H. Review the Key Themes Worksheet which was started under the Prepare step of the evaluation process. Add any new themes that the Evaluate and Score steps have brought forward, and/or revise previously identified themes as necessary.

The Key Themes Worksheet should not just repeat the findings given in the Category Worksheets, but should put them in perspective, taking into account Category linkages, KFs, and core values.

- I. Repeat the Evaluate and Score steps for each Item and Category of the appropriate 1999 Criteria for Performance Excellence (Business, Education, or Health Care).

Step 4: Finalize

- A. Review all Item and Category Worksheets to ensure that:
 1. comments are consistent within and among Items/ Categories (an aspect of the application cannot be a strength in one Item/Category and an OFI in the same or another Item/Category); and

2. comments cover the major points and objectives of the appropriate Criteria, reflect the core values, and focus on what is important to the applicant as determined by the KFs.

B. Complete the appropriate Score Summary Worksheet (Business, Education, or Health Care) with your scores for each Category and Item.

Score Summary Worksheet — Business Criteria

Applicant Name: _____ Application Number: _____

Summary of Criteria Items: Item, Percent Score (Column B), Point Score (Column C), Sum C (Column D)

1. LEADERSHIP

1.1 Organizational Leadership: 100% _____ % _____

1.2 Public Responsibility and Citizenship: 100% _____ % _____

Category Total: 100% _____ % _____

2. STRATEGIC PLANNING

2.1 Strategic Development: 100% _____ % _____

2.2 Strategic Implementation: 100% _____ % _____

Category Total: 100% _____ % _____

3. CUSTOMER AND MARKET FOCUS

3.1 Customer and Market Knowledge: 100% _____ % _____

3.2 Customer Satisfaction and Relationships: 100% _____ % _____

Category Total: 100% _____ % _____

4. INFORMATION AND ANALYSIS

4.1 Measurement of Organizational Performance: 100% _____ % _____

4.2 Analysis of Organizational Performance: 100% _____ % _____

Category Total: 100% _____ % _____

5. HUMAN RESOURCE FOCUS

5.1 Work Environment, Training and Development: 100% _____ % _____

5.2 Employee Well-Being and Satisfaction: 100% _____ % _____

Category Total: 100% _____ % _____

6. PROCESS MANAGEMENT

6.1 Product and Service Processes: 100% _____ % _____

6.2 Support and Planning Processes: 100% _____ % _____

Category Total: 100% _____ % _____

7. BUSINESS RESULTS

7.1 Customer Success Results: 100% _____ % _____

7.2 Financial and Market Results: 100% _____ % _____

7.3 Human Resource Results: 100% _____ % _____

7.4 Supplier and Partner Results: 100% _____ % _____

7.5 Organizational Effectiveness Results: 100% _____ % _____

Category Total: 100% _____ % _____

GRAND TOTAL (D): 100% _____ % _____

- E. Sign the Conflict of Interest Statement indicating that you have no conflict with this applicant, and complete the checklist on page 18.

Checklist and Conflict of Interest Statement

Before you return this scorebook to ASQ:

☐ If you used a word processor, did you follow the instructions on page 17?

☐ If this is the Step 3 review, have you scored each item in increments of 10% (e.g., 10%, 20%, etc.)?

☐ Have you indicated the package to be returned?

_____ The Great Sheet of the Scorebook (with the appropriate Criteria and process steps) have been checked?

_____ Key Business/School Factors Worksheet?

_____ Key Themes Worksheet?

_____ Category Worksheets for all Categories (7)?

_____ Item Worksheets for all Items (19 for Business and Health Care, 18 for Education)?

_____ Appropriate Score Summary Worksheet (Business, Education, or Health Care)?

_____ Checklist and signed Conflict of Interest Statement (this page)?

Conflict of Interest Statement

I have no conflict of interest with this applicant.

Applicant: _____ Examiner: _____

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- F. Assemble a paper copy of the Scorebook with the pages in the following order:
 1. Cover Sheet
 2. Key Business/School Factors Worksheet
 3. Key Themes Worksheet
 4. Category Worksheets for *all* Categories (7)
 5. Item Worksheets for *all* Items (19 for Business and Health Care, 18 for Education)
 6. Appropriate Score Summary Worksheet (Business, Education, or Health Care)
 7. Checklist and Signed Conflict of Interest Statement

Step 5: Return

- A. Insert the completed Scorebook (*not* the application) in the envelope provided by ASQ by the deadline on the front cover of the Scorebook, and return it to ASQ.
 1. ASQ will provide its overnight mail service account number to be used.
 2. Return the package by overnight carrier to ASQ's street address:
 Malcolm Baldrige National Quality Award
 American Society for Quality
 611 E. Wisconsin Avenue
 Milwaukee, WI 53202
 (800) 248-1946, ext. 7205
 - B. Contact ASQ if you do not receive a fax acknowledging receipt of your Scorebook.
 - C. Retain the application until notified by ASQ to return it. Please respond to that request immediately. ASQ will acknowledge receipt by fax.
 - D. When notified by ASQ, destroy all computer files and notes relating to the application.
- C. Complete the Key Themes Worksheet which provides an overall summary of the key points of the evaluation of the applicant. It is an assessment of the most important strengths, significant concerns, and Category 7 issues. These themes may be at a Category level, cut across the application, or address a core value of the Criteria. The Key Themes Worksheet should provide information from the evaluation of the written application and, if applicable, the consensus and site visit review processes.
 - D. Complete the Cover Sheet, indicating the number of hours spent completing the evaluation.

COMMENT GUIDELINES

Guidelines for Individual Comments

1. Comment on what is central to the Criteria Item and relevant and important to the applicant based on the key business/school factors. Respond to the basic objectives of the Item. Comment only on the requirements of the Criteria without going beyond.
2. Answer the “so what” question; indicate the significance of the comment in relation to the evaluation and/or effectiveness of the applicant’s performance excellence system.
3. Use one to three clear, simple, grammatically correct, and complete sentences. Use notations (a, b, c and +, ++, –, --). Use vocabulary and phraseology from the Criteria, core values, and Scoring Guidelines.
4. Use a polite, professional, and positive tone.
5. Avoid jargon and acronyms, unless used by the applicant.
6. Use the applicant’s terminology without “parroting” the application.
7. State observations; be non-judgmental — avoid “good,” “bad,” and “inadequate”; be nonprescriptive — refrain from using “could,” “should,” and “would.”
8. Avoid critiquing the style/organization of the application; comment on the approach, deployment, or results of the performance management system.
9. Identify the strengths (using specific examples from the application) or the OFIs (using specific omissions or problems in the application report). If something “is not clear,” give examples of what additional information is needed.
10. If you are commenting on information from a figure or if you refer to a figure, provide the figure number, particularly on results Items.

Guidelines for Item Worksheets

1. Comment on each Item — usually 5-8 comments per Item.
2. Comments drive the numerical score:
 - Balance of strengths and OFIs should reflect score.
 - Comments on low scoring Items should focus on basic information.
 - Comments on higher scoring Items should focus on finer points.
3. Ensure that strengths do not conflict with OFIs in the same or another Item.

Key Business/School Factors Worksheet

To begin the scoring process, review the Business/School Overview and the eligibility determination form. List the key business/school factors for this applicant using the headings and the order presented in the Guidelines for Preparing the Business/School Overview. See the appropriate *1999 Criteria for Performance Excellence* booklets (Business, Education, or Health Care) for more details.

Application Number_____ Examiner Initials_____

Key Themes Worksheet

The Key Themes Worksheet provides an overall summary of the key points of the evaluation of the application and an assessment of the key themes to be explored if the applicant proceeds to Stage 2 – Consensus Review and/or Stage 3 – Site Visit Review. These themes may be at a Category level, cut across the application, or address a core value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

- a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
- b. What are the most significant concerns, weaknesses, or vulnerabilities identified?
- c. Considering the applicant's key business/school factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in Category 7?

Application Number_____ Examiner Initials_____

Item Worksheet

Prepare one Item Worksheet for each Item of the appropriate 1999 Criteria for Performance Excellence (Business, Education, or Health Care).

+ / ++ **Area to Address** **(+) STRENGTHS**

- / - - **Area to Address** **(-) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Consensus Only):

Application Number _____ Item Number _____ Percent Score _____ Examiner Initials _____

Category Worksheet

Prepare one Category Worksheet for each Category of the appropriate 1999 Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria core values and the applicant's key business/school factors are useful in identifying Category-level observations.

(+) STRENGTHS

(-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Consensus Only):

SCORING GUIDELINES — BUSINESS CRITERIA

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> ■ no systematic approach evident; anecdotal information
10% to 20%	<ul style="list-style-type: none"> ■ beginning of a systematic approach to the basic purposes of the Item ■ major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item ■ early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	<ul style="list-style-type: none"> ■ a sound, systematic approach, responsive to the basic purposes of the Item ■ approach is deployed, although some areas or work units are in early stages of deployment ■ beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	<ul style="list-style-type: none"> ■ a sound, systematic approach, responsive to the overall purposes of the Item ■ approach is well-deployed, although deployment may vary in some areas or work units ■ a fact-based, systematic evaluation and improvement process is in place for basic Item processes ■ approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	<ul style="list-style-type: none"> ■ a sound, systematic approach, responsive to the multiple requirements of the Item ■ approach is well-deployed, with no significant gaps ■ a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ■ approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	<ul style="list-style-type: none"> ■ a sound, systematic approach, fully responsive to all the requirements of the Item ■ approach is fully deployed without significant weaknesses or gaps in any areas or work units ■ a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ■ approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	<ul style="list-style-type: none"> ■ no results or poor results in areas reported
10% to 20%	<ul style="list-style-type: none"> ■ some improvements <i>and/or</i> early good performance levels in a few areas ■ results not reported for many to most areas of importance to the organization's key business requirements
30% to 40%	<ul style="list-style-type: none"> ■ improvements <i>and/or</i> good performance levels in many areas of importance to the organization's key business requirements ■ early stages of developing trends and obtaining comparative information ■ results reported for many to most areas of importance to the organization's key business requirements
50% to 60%	<ul style="list-style-type: none"> ■ improvement trends <i>and/or</i> good performance levels reported for most areas of importance to the organization's key business requirements ■ no pattern of adverse trends and no poor performance levels in areas of importance to the organization's key business requirements ■ some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels ■ business results address most key customer, market, and process requirements
70% to 80%	<ul style="list-style-type: none"> ■ current performance is good to excellent in areas of importance to the organization's key business requirements ■ most improvement trends <i>and/or</i> current performance levels are sustained ■ many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels ■ business results address most key customer, market, process, and action plan requirements
90% to 100%	<ul style="list-style-type: none"> ■ current performance is excellent in most areas of importance to the organization's key business requirements ■ excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas ■ evidence of industry and benchmark leadership demonstrated in many areas ■ business results fully address key customer, market, process, and action plan requirements

Score Summary Worksheet — Business Criteria

Examiner Name _____

Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
1 LEADERSHIP			
1.1 Organizational Leadership	85	_____ %	_____
1.2 Public Responsibility and Citizenship	40	_____ %	_____
Category Total	125		_____
			SUM C
2 STRATEGIC PLANNING			
2.1 Strategy Development	40	_____ %	_____
2.2 Strategy Deployment	45	_____ %	_____
Category Total	85		_____
			SUM C
3 CUSTOMER AND MARKET FOCUS			
3.1 Customer and Market Knowledge	40	_____ %	_____
3.2 Customer Satisfaction and Relationships	45	_____ %	_____
Category Total	85		_____
			SUM C
4 INFORMATION AND ANALYSIS			
4.1 Measurement of Organizational Performance	40	_____ %	_____
4.2 Analysis of Organizational Performance	45	_____ %	_____
Category Total	85		_____
			SUM C
5 HUMAN RESOURCE FOCUS			
5.1 Work Systems	35	_____ %	_____
5.2 Employee Education, Training, and Development	25	_____ %	_____
5.3 Employee Well-Being and Satisfaction	25	_____ %	_____
Category Total	85		_____
			SUM C
6 PROCESS MANAGEMENT			
6.1 Product and Service Processes	55	_____ %	_____
6.2 Support Processes	15	_____ %	_____
6.3 Supplier and Partnering Processes	15	_____ %	_____
Category Total	85		_____
			SUM C
7 BUSINESS RESULTS			
7.1 Customer Focused Results	115	_____ %	_____
7.2 Financial and Market Results	115	_____ %	_____
7.3 Human Resource Results	80	_____ %	_____
7.4 Supplier and Partner Results	25	_____ %	_____
7.5 Organizational Effectiveness Results	115	_____ %	_____
Category Total	450		_____
			SUM C
GRAND TOTAL (D)	1000		_____
			D

SCORING GUIDELINES — EDUCATION CRITERIA

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> no systematic approach evident; anecdotal information
10% to 20%	<ul style="list-style-type: none"> beginning of a systematic approach to the basic purposes of the Item major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the basic purposes of the Item approach is deployed, although some areas or work units are in early stages of deployment beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the overall purposes of the Item approach is well-deployed, although deployment may vary in some areas or work units a fact-based, systematic evaluation and improvement process is in place for basic Item processes approach is aligned with basic school needs identified in the other Criteria Categories
70% to 80%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the multiple requirements of the Item approach is well-deployed, with no significant gaps a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing approach is well-integrated with school needs identified in the other Criteria Categories
90% to 100%	<ul style="list-style-type: none"> a sound, systematic approach, fully responsive to all the requirements of the Item approach is fully deployed without significant weaknesses or gaps in any areas or work units a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing approach is fully integrated with school needs identified in the other Criteria Categories

SCORE	RESULTS
0%	<ul style="list-style-type: none"> no results or poor results in areas reported
10% to 20%	<ul style="list-style-type: none"> some improvements <i>and/or</i> early good performance levels in a few areas results not reported for many to most areas of importance to key school requirements
30% to 40%	<ul style="list-style-type: none"> improvements <i>and/or</i> good performance levels in many areas of importance to key school requirements early stages of developing trends and obtaining comparative information results reported for many to most areas of importance to key school requirements
50% to 60%	<ul style="list-style-type: none"> improvement trends <i>and/or</i> good performance levels reported for most areas of importance to key school requirements no pattern of adverse trends and no poor performance levels in areas of importance to key school requirements some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels school performance results address most key student, stakeholder, and process requirements
70% to 80%	<ul style="list-style-type: none"> current performance is good to excellent in areas of importance to key school requirements most improvement trends <i>and/or</i> current performance levels are sustained many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels school performance results address most key student, stakeholder, process, and action plan requirements
90% to 100%	<ul style="list-style-type: none"> current performance is excellent in most areas of importance to the key school requirements excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas evidence of education sector and benchmark leadership demonstrated in many areas school performance results fully address key student, stakeholder, process, and action plan requirements

Score Summary Worksheet — Education Criteria

Examiner Name _____

Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
1 LEADERSHIP			
1.1 Leadership System	80	_____ %	_____
1.2 Public Responsibility and Citizenship	30	_____ %	_____
Category Total	110		_____
			SUM C
2 STRATEGIC PLANNING			
2.1 Strategy Development Process	40	_____ %	_____
2.2 School Strategy	40	_____ %	_____
Category Total	80		_____
			SUM C
3 STUDENT AND STAKEHOLDER FOCUS			
3.1 Knowledge of Student Needs and Expectations	40	_____ %	_____
3.2 Student and Stakeholder Satisfaction and Relationship Enhancement	40	_____ %	_____
Category Total	80		_____
			SUM C
4 INFORMATION AND ANALYSIS			
4.1 Selection and Use of Information and Data	25	_____ %	_____
4.2 Selection and Use of Comparative Information and Data	15	_____ %	_____
4.3 Analysis and Review of School Performance	40	_____ %	_____
Category Total	80		_____
			SUM C
5 FACULTY AND STAFF FOCUS			
5.1 Work Systems	40	_____ %	_____
5.2 Faculty and Staff Education, Training, and Development	30	_____ %	_____
5.3 Faculty and Staff Well-Being and Satisfaction	30	_____ %	_____
Category Total	100		_____
			SUM C
6 EDUCATIONAL AND SUPPORT PROCESS MANAGEMENT			
6.1 Education Design and Delivery	60	_____ %	_____
6.2 Education Support Processes	40	_____ %	_____
Category Total	100		_____
			SUM C
7 SCHOOL PERFORMANCE RESULTS			
7.1 Student Performance Results	150	_____ %	_____
7.2 Student and Stakeholder Satisfaction Results	100	_____ %	_____
7.3 Faculty and Staff Results	100	_____ %	_____
7.4 School-Specific Results	100	_____ %	_____
Category Total	450		_____
			SUM C
GRAND TOTAL (D)	1000		_____
			D

SCORING GUIDELINES — HEALTH CARE CRITERIA

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> no systematic approach evident; anecdotal information
10% to 20%	<ul style="list-style-type: none"> beginning of a systematic approach to the basic purposes of the Item major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the basic purposes of the Item approach is deployed, although some areas or work units are in early stages of deployment beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the overall purposes of the Item approach is well-deployed, although deployment may vary in some areas or work units a fact-based, systematic evaluation and improvement process is in place for basic Item processes approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the multiple requirements of the Item approach is well-deployed, with no significant gaps a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	<ul style="list-style-type: none"> a sound, systematic approach, fully responsive to all the requirements of the Item approach is fully deployed without significant weaknesses or gaps in any areas or work units a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	<ul style="list-style-type: none"> no results or poor results in areas reported
10% to 20%	<ul style="list-style-type: none"> some improvements <i>and/or</i> early good performance levels in a few areas results not reported for many to most areas of importance to key organizational requirements
30% to 40%	<ul style="list-style-type: none"> improvements <i>and/or</i> good performance levels in many areas of importance to key organizational requirements early stages of developing trends and obtaining comparative information results reported for many to most areas of importance to key organizational requirements
50% to 60%	<ul style="list-style-type: none"> improvement trends <i>and/or</i> good performance levels reported for most areas of importance to key organizational requirements no pattern of adverse trends and no poor performance levels in areas of importance to key organizational requirements some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels organizational performance results address most key patient/customer, market, and process requirements
70% to 80%	<ul style="list-style-type: none"> current performance is good to excellent in areas of importance to key organizational requirements most improvement trends <i>and/or</i> current performance levels are sustained many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels organizational performance results address most key patient/customer, market, process, and action plan requirements
90% to 100%	<ul style="list-style-type: none"> current performance is excellent in most areas of importance to the key organizational requirements excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas evidence of health care sector and benchmark leadership demonstrated in many areas organizational performance results fully address key patient/customer, market, process, and action plan requirements

Score Summary Worksheet — Health Care Criteria

Examiner Name _____

Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
1 LEADERSHIP			
1.1 Leadership System	80	_____ %	_____
1.2 Public Responsibility and Citizenship	30	_____ %	_____
Category Total	110		_____
			SUM C
2 STRATEGIC PLANNING			
2.1 Strategy Development Process	40	_____ %	_____
2.2 Organizational Strategy	40	_____ %	_____
Category Total	80		_____
			SUM C
3 FOCUS ON PATIENTS, OTHER CUSTOMERS, AND MARKETS			
3.1 Patient/Customer and Health Care Market Knowledge	40	_____ %	_____
3.2 Patient/Customer Satisfaction and Relationship Enhancement	40	_____ %	_____
Category Total	80		_____
			SUM C
4 INFORMATION AND ANALYSIS			
4.1 Selection and Use of Information and Data	25	_____ %	_____
4.2 Selection and Use of Comparative Information and Data	15	_____ %	_____
4.3 Analysis and Review of Organizational Performance	40	_____ %	_____
Category Total	80		_____
			SUM C
5 STAFF FOCUS			
5.1 Work Systems	40	_____ %	_____
5.2 Staff Education, Training, and Development	30	_____ %	_____
5.3 Staff Well-Being and Satisfaction	30	_____ %	_____
Category Total	100		_____
			SUM C
6 PROCESS MANAGEMENT			
6.1 Design and Delivery of Health Care	70	_____ %	_____
6.2 Management of Support Processes	30	_____ %	_____
Category Total	100		_____
			SUM C
7 ORGANIZATIONAL PERFORMANCE RESULTS			
7.1 Patient/Customer Satisfaction Results	100	_____ %	_____
7.2 Health Care Results	120	_____ %	_____
7.3 Financial and Market Results	80	_____ %	_____
7.4 Staff and Work System Results	50	_____ %	_____
7.5 Organization-Specific Results	100	_____ %	_____
Category Total	450		_____
			SUM C
GRAND TOTAL (D)	1000		_____
			D

Checklist and Conflict of Interest Statement

Before you return this scorebook to ASQ:

- ☐ If you used a word processor, did you follow the instructions on page 1?
- ☐ If this is the Stage 1 review, have you scored each Item in increments of 10% (e.g., 10%, 20%, etc.)?
- ☐ Have you included in the package to be returned:
 - _____ The Cover Sheet of the Scorebook (with the appropriate Criteria and process stage boxes checked)?
 - _____ Key Business/School Factors Worksheet?
 - _____ Key Themes Worksheet?
 - _____ Category Worksheets for *all* Categories (7)?
 - _____ Item Worksheets for *all* Items (19 for Business and Health Care, 18 for Education)?
 - _____ Appropriate Score Summary Worksheet (Business, Education, or Health Care)?
 - _____ Checklist and signed Conflict of Interest Statement (this page)?

Conflict of Interest Statement

I have no conflict of interest with this applicant.

Signature

Date

Application Number_____ Examiner Initials_____

Baldrige National Quality Program

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

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